

106 KAR 1:220. Local exercise.

RELATES TO: KRS 39A.050(2)(l), 39C.050(4), 39E.010(1), 42 U.S.C. 11001-11050

STATUTORY AUTHORITY: KRS 39A.050(2)(j), (m), 39A.070(3), 39E.040(6), 39E.080(4), 42 U.S.C. 11003(c)

NECESSITY, FUNCTION, AND CONFORMITY: KRS 39A.050(2)(l) requires the division to institute exercise programs. This administrative regulation establishes requirements for exercising a local plan.

Section 1. Definitions. (1) "Exercise" means a test and evaluation of a local plan.

(2) "Federal fiscal year" means a period beginning October 1 of a calendar year and ending September 30 of the following calendar year.

(3) "Full-scale exercise" means a comprehensive test and evaluation of a local plan utilizing written objectives that emphasize the practice of multiple emergency functions and require actual deployment of policy, coordination, and operations personnel, equipment, and resources in response to a simulated emergency.

(4) "Functional exercise" means a limited test and evaluation of a local plan utilizing written objectives that emphasize the practice of direction and control procedures and require actual and simulated utilization of policy, coordination, and operations personnel, equipment, and resources in response to a simulated emergency.

(5) "Local plan" means the written emergency operations plan of a city, county, charter county, or urban-county government, pursuant to KRS Chapters 39A to 39F.

(6) "Tabletop exercise" means a group discussion, led by a facilitator, utilizing a written scenario narrative and a set of problem statements, directed messages, or prepared questions designed to test and evaluate a local plan.

Section 2. Tabletop Exercise Requirement. A tabletop exercise shall consist of the following:

(1) Development and use of a written scenario based on a hypothetical emergency situation; and

(2) Development and use of at least fifteen (15) written problem statements, directed messages, or prepared discussion questions worded specifically to test or evaluate the provisions of a local plan.

Section 3. Functional Exercise Requirement. A functional exercise shall consist of the following:

(1) At least twenty-five (25) percent staffing of a primary or alternate local emergency operations center;

(2) An operational test of communications and emergency power equipment in a local emergency operations center;

(3) Use of message forms or status boards in a local emergency operations center;

(4) Development and use of a written scenario based upon one (1) or more hazards specified in a local plan;

(5) Development and use of five (5) or more written exercise objectives;

(6) Testing of seven (7) or more disaster and emergency response functions specified in a local plan;

(7) Development and use of written evaluation criteria;

(8) Designation and use of a lead evaluator; and

(9) Conduct of an exercise critique involving exercise participants.

Section 4. Full-scale Exercise Requirement. A full-scale exercise shall consist of the following:

- (1) Completion of the requirements of Section 3 of this administrative regulation, except subsections (1), (5) and (6);
- (2) At least seventy-five (75) percent staffing of a primary or alternate local emergency operations center;
- (3) Development and use of ten (10) or more written exercise objectives;
- (4) Testing of fifteen (15) or more disaster and emergency services response functions specified in a local plan; and
- (5) Field deployment of at least five (5) emergency response and support agencies.

Section 5. Local Exercise Requirement. (1) Except as provided in subsection (2) of this section, a local director shall:

(a) Schedule, design, conduct, and document one (1) tabletop, functional, or full-scale exercise by September 30 of each federal fiscal year; and

(b) At least once during each period of four (4) consecutive federal fiscal years, include in an exercise specified in paragraph (a) of this subsection, testing and validation of a local plan specified in KRS 39E.150.

(2) During each period of four (4) consecutive federal fiscal years, a local director shall schedule, design, conduct, and document at least one (1) functional or full-scale exercise in lieu of one (1) tabletop exercise specified in subsection (1)(a) of this section.

(3) Within thirty (30) days prior to conducting a tabletop exercise specified in subsection (1)(a) of this section, a local director shall submit to an area manager in final draft form the following:

(a) A completed KyEM Form 201, "Exercise Narrative Scenario" or computer-generated equivalent; and

(b) A completed list of written problem statements, directed messages, or prepared discussion questions established pursuant to Section 2(2) of this administrative regulation.

(4) Within thirty (30) calendar days following completion of a tabletop exercise, a local director shall submit to an area manager a written exercise report consisting of the following:

(a) A completed KyEM Form 201, "Exercise Narrative Scenario" or computer-generated equivalent;

(b) A copy of the written exercise discussion problem statements, directed messages, and prepared questions established pursuant to Section 2(2) of this administrative regulation;

(c) A completed KyEM Form 205, "Exercise Participant Roster" or computer-generated equivalent; and

(d) A completed KyEM Form 206, "Exercise Critique" or computer-generated equivalent.

(5) Within thirty (30) calendar days prior to conducting a scheduled functional or full scale exercise, a local director shall submit the following to an area manager, in final draft form:

(a) A completed KyEM Form 201, "Exercise Narrative Scenario" or computer-generated equivalent; and

(b) A completed KyEM Form 202, "Exercise Objectives" or computer-generated equivalent.

(6) Within thirty (30) calendar days following completion of a functional or full scale exercise, a local director shall submit to a county judge/executive, a mayor, and an area manager a written local exercise report consisting of the following completed forms:

(a) KyEM Form 201, "Exercise Narrative Scenario" or computer-generated equivalent;

(b) KyEM Form 202, "Exercise Objectives" or computer-generated equivalent;

(c) KyEM Form 203, "Exercise Evaluation Criteria" or computer-generated equivalent;

(d) KyEM Form 204, "Master Sequence of Events List" or computer-generated equivalent;

- (e) KyEM Form 205, "Exercise Participant Roster" or computer-generated equivalent;
- (f) KyEM Form 206, "Exercise Critique" or computer-generated equivalent; and
- (g) KyEM Form 207, "Exercise After Action Report" or computer-generated equivalent.

Section 6. Exercise Substitution. (1) In lieu of conducting and documenting a scheduled tabletop, functional, or full-scale exercise in a federal fiscal year, a local director may request to substitute the actual response of a local disaster and emergency services organization to a major emergency situation or disaster occurrence in a local jurisdiction during the federal fiscal year of the actual response.

(2) A local director requesting to substitute an actual response to a major emergency situation or disaster occurrence, in lieu of conducting and documenting a scheduled tabletop, functional, or full-scale exercise shall, within sixty (60) calendar days following termination of associated emergency response operations, submit to an area manager, for transmittal to the director, an after-action report in memorandum form, containing the following information:

- (a) A brief description of the type or kind of emergency situation or disaster that occurred in the local jurisdiction;
- (b) Date of the emergency situation or disaster occurrence;
- (c) The geographic area adversely affected by the emergency situation or disaster;
- (d) The estimated population in the adversely affected geographic area;
- (e) The major problems experienced and the actions taken by local government to mitigate or respond to the major problems;
- (f) Significant assets utilized to mitigate or respond to the emergency situation or disaster; and
- (g) Critique comments describing the general effectiveness of the mitigation or response efforts of local government forces, including the adequacy of the local plan and any significant deficiencies noted.

Section 7. Incorporation by Reference. (1) The following material is incorporated by reference:

- (a) "Exercise Narrative Scenario, October 2000";
- (b) "Exercise Objectives, October 2000";
- (c) "Exercise Evaluation Criteria, October 2000";
- (d) "Master Sequence Of Events List, October 2000";
- (e) "Exercise Participant Roster, October 2000";
- (f) "Exercise Critique, October 2000"; and
- (g) "Exercise After Action Report, October 2000".

(2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at the Office of the Director, Division of Emergency Management, State Emergency Operations Center, 100 Minuteman Parkway, Boone National Guard Center, Frankfort, Kentucky 40601, Monday through Friday, 8 a.m. to 4:30 p.m. (27 Ky.R. 1982; Am. 2842; 3076; eff. 5-14-2001.)